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<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	<b>Application Number</b>	09/954,771	
	<b>Filing Date</b>	September 18, 2001	
	<b>First Named Inventor</b>	Bolen, Richard K.	
	<b>Group Art Unit</b>		
	<b>Examiner Name</b>		
<b>Total Number of Pages in This Submission</b>	4	<b>Attorney Docket Number</b>	072395.00003

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input checked="" type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):  Verified Small Entity Statement Small Business Concern
<b>Remarks</b>  Verified Small Entity Statement Small Business Concern		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
<b>Firm or Individual name</b>	Todd S. Parkhurst, Holland & Knight LLP 55 West Monroe Street, Chicago, IL 60603
<b>Signature</b>	
<b>Date</b>	November 19, 2001

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: Nov. 19, 2001			
<b>Typed or printed name</b>	Todd S. Parkhurst	<b>(26,494)</b>	
<b>Signature</b>		<b>Date</b>	Nov. 19, 2001

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Richard K. Bolen Atty. Docket No. 072395.00003

Serial No.: 09/954,771

Filed: September 18, 2001

Invention: Secure Merchandise-Vending Machine

**REQUEST FOR REFUND**

Attn: Refund Section  
Financial Accounting Division  
Office of Finance  
Commissioner for Patents  
Washington, D.C. 20231

PATENT & TRADEMARK  
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DIVISION

Commissioner:

Pursuant to Rule 37 C.F.R. §§1.26, 1.27 and 1.28(a), Applicant hereby requests a refund for overpayment of filing fee due to entity status. Applicant filed the above-identified application on September 18, 2001 along with the filing fee in the amount of \$710.00. Applicant hereby requests a refund in the amount of \$355.00. A copy of Applicant's Verified Statement Claiming Small Entity Status is enclosed. Please mail a check for amount specified to the undersigned.

Respectfully submitted,

Date: 11/19/01

Todd S. Parkhurst (Reg. #26,494)  
Todd S. Parkhurst  
HOLLAND & KNIGHT, LLP  
55 West Monroe Street  
Suite 800  
Chicago, Illinois 60603  
Tel: (312) 263-3600  
Attorney for Applicant

Applicant(s) or Patentee(s) Richard K. Bolen Attorney's  
Serial or Patent No.: 09/954,771 Docket No.: 072395.00003  
Filed or Issued: September 18, 2001  
For: "SECURE MERCHANDISE VENDING MACHINE"

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(c)) - SMALL BUSINESS CONCERN

I hereby declare that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF CONCERN THE NORTHWESTERN CORPORATION  
ADDRESS OF CONCERN 922 East Armstrong Avenue  
Morris, IL 60450

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled: "SECURE MERCHANDISE VENDING MACHINE"  
by inventor(s): Richard K. Bolen  
described in

- ☐ the specification filed herewith  
☒ application Serial No. 09/954,771, filed September 18, 2001  
☐ Patent No. \_\_\_\_\_, issued \_\_\_\_\_

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27).

NAME  
ADDRESS

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME  
ADDRESS

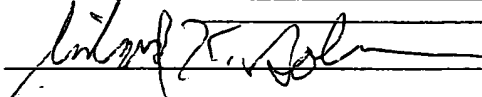
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date and which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Richard K. Bolen  
TITLE OF PERSON OTHER THAN OWNER President  
ADDRESS OF PERSON SIGNING \_\_\_\_\_

SIGNATURE



DATE

11/15/01

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the  
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Attention: Refund Section  
Financial Accounting Division  
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Date: November 19, 2001

*T. M. P. P. P.*

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